CME Account Manager®
User Manual

11/02/2015

Futures trading is not suitable for all investors, and involves the risk of loss. Futures are a leveraged investment, and because only a percentage of a contract's value is required to trade, it is possible to lose more than the amount of money deposited for a futures position. Therefore, traders should only use funds that they can afford to lose without affecting their lifestyles. And only a portion of those funds should be devoted to any one trade because they cannot expect to profit on every trade.

All references to options refer to options on futures.

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All matters pertaining to rules and specifications herein are made subject to and are superseded by official CME, CBOT, and NYMEX rules. Current rules should be consulted in all cases concerning contract specifications.

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What's New

Revision History

The list below illustrates the updates made to the Account Manager User Manual.

Date	Author	Topic	Description
10/30/15	MR	Various	EOS Trader has been decommissioned and features have been removed from CME Account Manager.
8/28/15	MR	Account Setup Creating Omnibus and Trading Sub Accounts	A new role, Trader Risk Administrator, can be authorized to create omnibus and sub accounts, whose activity aggregates and is represented through the parent firm to the clearing member firm.
6/16/15	MR	Creating a New Account Credit Controls	Users can enable accounts for Portfolio Margining. An additional field is included on Account and Credit Control pages.
6/12/15	MR	Reports	Report toolbar options are modified.
6/6/15	MR	User &Firm Limits	Using a download / upload process Clearing Member Administrators can view, specify and update maximum user clip sizes for CME Globex enabled accounts.
3/5/15	MR	Creating a New Account	Update Selecting a Trading Platform, Agency Cross descriptions with supplementary descriptions and references.
1/9/15	MR	Edit Accounts	Download to spreadsheet functionality added.
1/9/15	MR	Creating a New Account	For account setup, when linking a customer account to another account (e.g. margin and master account) consolidated account setup form is no longer used.
1/9/15	MR	Closing an Account	Renamed to Deleting an Account. The **Close** button has been renamed to **Delete**.
1/9/15	MR	Assigning Price Band Limits with a Template	Updated with functionality that enables users to optionally apply Price Banding Variation Limit updates to existing firms and users to which the template has been assigned.
12/7/14	MR	Firm/User Price Band Limits	Added Price Band Limits functionality overview and instructions.
7/26/14	MR	Getting Started	SMART Click ID registration required by 9/26/14. Instructions to claim CME Account Manager ID. Common navigation menu.
7/26/14	MR	Reports	Reports have been moved to the common navigation menu.
6/20/14	MR	Various	Limit usage moved from Credit Controls to Limits Monitoring. Asset manager assignment moved to Account Setup page. On the Service drop-down list, CMED Globex is available as a selection. Activate, De-Activate, Edit, Close requires full administrative entitlements and services.

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Date	Author	Topic	Description
6/7/14	MR	Various	Creating Accounts Reviewing Account Information Setting Account Limits
4/14/14	MR	All	Updated links and edited to meet Help standards
1/31/14	MR	Creating a New Account	Added master/margin account selection field.
12/6/13	MR	User Max Qty Limits	Added maximum quantity per order limit.
11/10/13	MR	Global Account Management Modifying Product Limits	GCC contact phone numbers are updated. Updated to include option limits.
9/18/13	MR	Closing an Account	Account number validation prevents duplicate account numbers from being created when firms are affiliated with the same clearing organization. Added account closure functionality
6/13/13	MR	Creating a New Account	Added information about the iLink Session ID/SenderComp assignment.
5/10/13	MR	Assigning Brokers and Asset Managers	Added default asset manager details.
4/15/13	MR	Creating a New Account Creating a New Account Based on an Existing Account Viewing and Editing an Account Credit Controls	Added **Holding Account** indicator to Account and Credit Controls screens.
3/8/13	MR	All	Getting Started • Updated the Trader Admin role • Introduces the Settings feature, which is used to restrict the trader admin role Create a New Account - CME Direct Globex description is updated Credit Controls - references trader admin role Modify Specific Product Limits - references trader admin role

Date	Author	Topic	Description
9/28/12	MR	Getting Started	Added references to EOS Trader.
	MR	Creating a New Account	Added EOS Trader as an additional venue, details of applicable market types and products. and exclusion of SenderComp.
	MR	Limits Monitoring Modifying Specific Product Limits	Added a description of the relationship of options to their futures equivalent.
	MR	Viewing and Editing an Account	Added a reminder to view account exposure prior to modifying venues.
	MR	Setting Market Permissions	Added CDS Risk Method description.
7/27/12	MR	Getting Started Audit Trails Modifying Specific Product Limits Credit Controls Viewing and Editing an Account	Description of the user roles. Added new topic to describe the ability to monitor Account Manager activity. Added new topic to describe the ability to modify specific product limits for CME Direct Updated screens to illustrate: • Audit Trails and Limits Monitoring tabs • View Account Details and View Credit Controls links
5/25/12	MR	Limits Monitoring	Added steps to set accounts up for CME Globex trading and for enabling accounts for CME Direct. Also added information about new Limits Monitoring page: • Globex Brokers can now be assigned to accounts and product-level limits can be set on CME Globex futures contracts submitted using CME Direct. • Accounts can be enabled for CME Direct and SenderComp (iLink session ID) can be associated with that trading entity and account. • A new Limits Monitoring page has been added to the system to act as the landing page. • Added new functionality and services to support the distribution CME Direct, the new CME Group trading system that provides access to both over-the-counter (OTC) and Globex Energy, Metals, and Commodity markets.
3/5/12	MR	All	Updated text and screens to reflect new interface and workflows.
8/26/11	MR	Reports Creating a New Account Based on an Existing Account	Added the following topics:Reports, Create a New Account Based on an Existing Account. Incorporated new search functionality. Removed Default Account field.
6/24/11	MR	Market Type Permissioning	Updated to include functionality and screen shots related to two new fields for worst-case long and short calculations.

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Date	Author	Topic	Description
3/23/11	MR	All	Single-sourced content and applied new styles and formatting.
2/14/11	MR	Obtaining User ID and Password	Updated Obtain User ID and Password section.
12/6/10	MR		Updated permissioning screens.
12/2/10	MR	N/A	Updated Account Information Edit and Permissioning screen steps for enhanced permissioning flow.
9/10/10	MR	N/A	Updated all Account Information:Edit screens/steps for different entry flow.
4/29/10	MR	All	Added Asset Manager functionality. Changed NYMEX references to CME references.

Please submit user experience feedback about this user manual.

Getting Started

CME Account Manager® provides Clearing Members with an application to provide, view and control risk settings associated with Over The Counter (OTC) and CME Direct Globex trades, for users at the Clearing or Executing firm level.
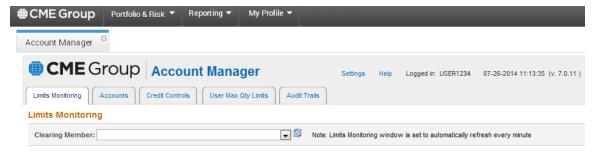
User roles, assigned when an account is established, determine privileges to the CME Account Manager.

NOTE: This application is also referred to as the Risk Assessment Value (RAV) Manager.

Using the features on the Credit Controls tab, Clearing Members set a dollar value trading limit for their accounts, Brokers, and Asset Managers, who can electronically submit OTC (using ClearPort), or Globex trades (using CME Direct) for clearing to these accounts:

- If the trade is within the preset limits established by the Clearing Member, it is automatically accepted by the CME Account Manager. Position limits may be optionally set for each product for short and long positions.
- If the account does not exist in the CME Account Manager, it will need to be created. If the account exists but a trade exceeds the preset limits, or includes a restricted product, it is automatically rejected. Only after appropriate accounts are set up, and/or the limit is raised, will the trade be cleared.
- Account credit usage reflects top day trading activity.
- If the account has both short and long positions for the same product and contract month, CME Account Manager usage nets to zero.
- Credit Default Swaps require allocation level credit claims by Clearing Members in Front End Clearing (FEC).
- All CME Group trades cleared through CME ClearPort can be viewed in FEC. All CME Globex trades submitted using CME Direct can be viewed in Firmsoft.

Upon login, the Limits Monitoring page appears:

Entitlements

Entitlement	Permission
Clearing Member Firm Risk Administrator (CM Risk Admin)	Creates and manages accounts and privileges, credit controls, audit trails, except trading sub accounts.
	Globex Account Administrator - Create and mange CME Globex accounts, only. - Restrict (Opt-out) trading firm access to accounts that are cleared by their clearing firms **NOTE**: A user can be assigned Globex and Clearing Account Administrator privileges, to enable, de-activate and close accounts for ClearPort and CME Globex.

Entitlement	Permission
	ClearPort Account Administrator • Create and manage ClearPort accounts, only. • Restrict (Opt-out) trading firm access to accounts that are cleared by their clearing firms
Trader Administrators (Trader Admin)	• View clearing and sub-accounts, where the trading firm is the account owner. • Edit broker firm permissions. • Cannot create trading sub accounts
Trader Risk Administrator (Trader Risk Admin)	• Create and maintain trading sub-accounts • Sub account transactions are cleared on the clearing account. • Edit only Can edit only permissioned broker assignments on the clearing accounts.

Logging In and Out

CME Account Manager uses SMART Click to manage application authentication. SMART Click is a self-managed, centralized user profile service that authenticates access to CME Group applications and services.

Prior to logging in to CME Account Manager, users should ensure the SMART Click registration procedures are completed.

▷ **To register for a SMART Click ID:**

For registration instructions, refer to the SMART Click WebHelp / user manual.

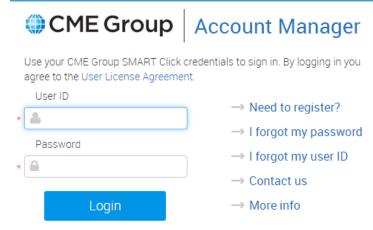**NOTE**: For questions or additional information contact Global Account Management (GAM).

Access with SMART Click ID

▷ **To log in to CME Account Manager:**

1. From a supported internet browser, navigate to the CME Account Manager login page.
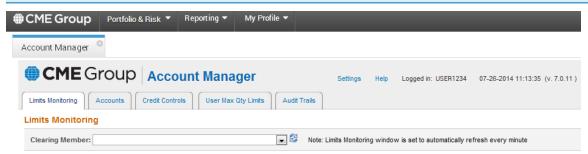
   Note: To ensure the best security and customer experience, CME Account Manager users are encouraged to use a supported browser.

2. On the login page that appears, enter the SMART Click User ID and Password, then click **Login** .

   Upon successful login, the Account Manager application appears. Available tabs are dependent on assigned privileges.

   Note: If CME Account manager does not appear, click **Portfolio & Risk**, then select **CME Account Manager**.

Logging Out

▷ **To log out of CME Account Manager:**

From the common navigation menu, click **My Profile**, then select **Logout**.

If the application is idle for 30 minutes, the system automatically times out.

Limits Monitoring

The **Limits Monitoring** page appears after successful login. This page provides a real-time list of accounts managed by the user with account-level credit usage against permissible limits.

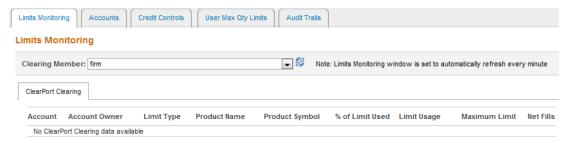The Limits Monitoring feature is used by risk or trader administrators to monitor all accounts for credit level usage, limits and/or product-level net positions that are near trading limits. The Clearing Member is not selected and the monitoring displays all activities (limit used) for accounts owned by the trading firm and cleared by any clearing firm. Users can view account activities by specific clearing member.

| Limits Monitoring | Accounts | Credit Controls | User Max Qty Limits | Audit Trails |

Limits Monitoring

Clearing Member: firm   Note: Limits Monitoring window is set to automatically refresh every minute

ClearPort Clearing

Account	Account Owner	Limit Type	Product Name	Product Symbol	% of Limit Used	Limit Usage	Maximum Limit	Net Fills
No ClearPort Clearing data available

The contents of the Limits Monitoring page are specific to the logged in user. If managing accounts for multiple clearing and/or trading firms, the page defaults to the user's firm. Users assigned permission to act on behalf of more than one clearing member firm can select alternate clearing members from the **Clearing Member** menu.

Example: When a clearing member firm assumes control of another firm

The page includes a tab for **ClearPort Clearing** data. The **Globex Trading** tab appears to users with Globex trading privileges.

The page displays one row for each Credit Limit, Long Qty Limit, or Short Qty Limit that has non-zero usage or non-zero limit (up to 1000 rows) in descending order by:

- % Limit Used
- Limit Usage
- Maximum Limit

Credit Controls greater than or equal to 90% utilization are highlighted **RED**. Credit Controls between 80% and 89% utilization are highlighted **YELLOW**.

The data on this page updates automatically every minute or manually refreshed by clicking . The **ClearPort Clearing** and **Globex Trading** pages display common trading data. The Globex Trading page also includes Working Order details.

Creating Accounts

This section provides instructions to register a new account in CME Account Manager: set market permissions, assign permissible products to the account, associate brokers and asset managers, and set the Risk Assessment Values (RAV) Limits. Accounts can only be assigned to Asset Managers and Broker Firms that have permission for the exchange, division, or clearing firm for which the Clearing Member is assigning permission.

For trades to be cleared, accounts must initially be registered for ClearPort, then registered in CME Account Manager.

Creating ClearPort Accounts

Using the Account Setup page, clearing member firm administrators can create ClearPort accounts, for non-member (non-FCM) clearing firms, with entitlement to create trading sub-accounts. The **Trader Risk Administrator** entitlement, is used to create sub-accounts for their customers to manage risk. Trader Risk Administrator is the only entitlement that can create and manage trading sub accounts.

The following account criteria and behaviors apply:

- **Omnibus**: Omnibus trading sub-account owner can be any registered firm.
- **Non-Omnibus**: Non-omnibus trading sub account owner firm will default to the account owner firm on the clearing account and cannot be modified.

Trades entered by trading sub-accounts are evaluated against sub-account-level and managing firm risk settings and cleared through the assigned clearing account.

Note: For additional information and a full description of trading sub-account behavior, refer to the Omnibus Support Information advisory.

Note: For setup instructions, refer to the Account Setup and Creating Trading Sub Accounts.

Account Creation

Creating a new account consists of the following steps, illustrated in a diagram, additional activities include setting up trading limits and confirmation.

- Account Setup
- Market Permissions
- Permissible Products
- Broker Permissions
- Setup Limits
- Confirm account setup

Click a box to go to the page. Colors indicate the setup progress:

- Green - Required information has been entered and saved.
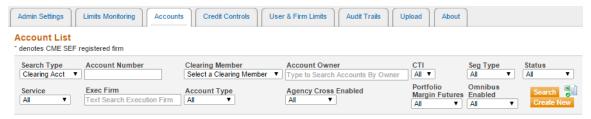- Orange - Currently displayed page.
- Grey - Not Started.

NOTE: CME ClearPort and CME Globex are managed separately, therefore, firms may wish to establish a unique account for each venue.

To create a new account:

1. Click the **Accounts** tab. to go to the **Account List** page, then click **Create New**.

   The **Account List** page appears.

2. Click **Create New** then enter Account Setup information.
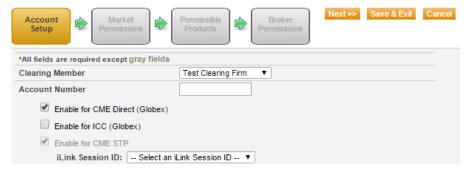
Account Setup

The Account Setup page is the initial screen that appears when the Create New button is clicked. Using the following procedures clearing member firm administrators can set up Globex, ClearPort, CME Direct, CME STP accounts; and Omnibus or Non-Omnibus ClearPort accounts.

To enter Account Setup details:

1. From the **Accounts** tab > **Account Setup** page, specify **Clearing Member**, **Account**, **Platform** details:

   Refer to the following information for guidance on entering details. Required fields are indicated by a red asterisk (*****).

   Note: Available fields are determined by assigned privileges of the selected Clearing Member.

- **Clearing Member***
- **Account Number*** - The alphanumeric identifier for ClearPort or Globex accounts.
  - ClearPort account numbers may be up to 14 characters.
  - Globex account numbers may be up to 12 characters.

  Do not use special characters (**%, &, $, #, !, +, ***) in the first, or first and second position.
- **Trading Platform***

  Available trading platforms are assigned at the clearing member level prior to the check-box being available. An account may be enabled for only one CME Globex trading platform (CME Direct). To assign both CME Globex trading platforms to a firm create an additional account and assign the additional CME Globex trading platform.

  Note: A validation feature ensures duplicate account numbers cannot be created when a clearing firm is affiliated with another clearing firm. If a duplicate account number is assigned an error message appears, "Duplicate account number".
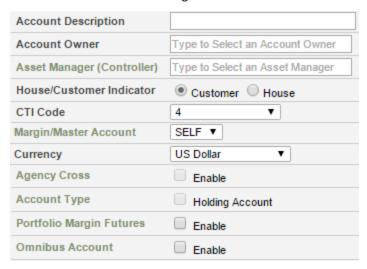
  - **ClearPort Clearing** - Assigns clearing market types.

- **CME Direct (Globex)**- Assigns CME and DME market types.

- **iLink Session ID** - If CME Direct (Globex) is selected, select an **iLink Session ID**.

  - An iLink Session ID / SenderComp, which is based on the selected [Clearing Member](#) and associated with trading firms, must be entered on all trades.

  - Accounts without an iLink Session ID/[SenderComp](#)[1] designated in CME Account Manager can only be used for in-house brokerage purposes. The iLink Session ID/Sender Comp field should only be left blank when the account owner (trading firm) is not registered for CME Direct (Globex), but the account administrator wishes to allow an In-House Broker to place Globex orders for this account. Clearing Firms must assign a default iLink Session ID/SenderComp for the in-house Broker entity. This iLink Session ID/SenderComp can be obtained from a [Global Account Manager](#).

  - For all other account types, creating an account without assigning an iLink Session ID/SenderComp will result in an incomplete setup that will prevent trades from being processed. If an iLink Session ID is not selected, a message dialog appears and must be acknowledged before proceeding with account setup.

The available choices are:

- **OK**- Proceed without selecting an iLink Session ID.

- **Cancel**- Select an iLink Session ID, go back and select an iLink Session ID.

- [**CME STP**](#)

4. Select and enter account **Privileges**.

- **Account Description***

- Account Owner*

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[1]The structure of a SenderComp is a concatenation of the iLink session and firm identifier.

> **Note**: For Non-omnibus sub-accounts , the Account Owner is specified at the clearing firm level, and cannot be modified. For omnibus or non-omnibus accounts, if sub-accounts are created the account owner on the clearing account cannot be modified.

- **DTCC Participant Id** - The Depository Trust and Clearing Corporation (DTCC) identifier appears when equity stocks are on deposit as customer and house segregated performance bond collateral. For additional information refer to: http://www.dtcc.com

- **Asset Manager**[1] (Controller) - Enter the name in the field; available choices appear based on the partially entered name.

> **Note:** For omnibus or non-omnibus sub-accounts: If an asset manager firm is assigned, to the clearing account, trading sub-accounts cannot be created and the Omnibus selection will not be available.

- **Alias** - Optional

  - **CME Account Alias** - A CME Group generated alternate account identifier to the platform alias for specific accounts.

  - **Firm Alias** - If sub-accounts will be created, *do not* assign an alias.

- **House/Customer** - Indicates whether the account represents customer segregated funds or house funds.

- **CTI Code**[2]

- **Currency**

- **Margin/Master Account**[3]

- **Agency Cross** - At the account level, select the checkbox to opt in / out or upload a file to configure multiple accounts, . For CME Direct transactions, enables trades in certain energy and metals products if certain pre-execution communications were conducted to discern interest in execution of a transaction. Pursuant to rules 539 and 549 of the CME Group rulebook, these trades and associated pre-execution communication are subject to additional requirements. Additional information is available on the Market Regulation Advisory Notice and Client System Wiki.

- **Account Type / Holding Account**

> **Note**: For omnibus or non-omnibus sub-accounts: If Holding Account is selected, trading sub-accounts cannot be created and the Omnibus selection will not be available.

- **Portfolio Margin Futures** - Enables the account for the CME Portfolio Margining program for futures.

- **Omnibus Account** - Enables sub-account assignment to any registered Account Owner. If a clearing account has been flagged as a holding account or an asset manager firm has been assigned, the account cannot be flagged as an Omnibus account. Prior to sub-account creation, omnibus can be de-selected and the owner modified. Omnibus is also configurable in clearing account Upload / Download process.

3. To continue with the account creation process, Click **Next**, which navigates to **Market Permissions**.

   Additional options:

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[1]An asset manager can manage, claim, cancel, or decline single side trades, and enter single side trades.
[2]CTI1 - An individual member trading for his or her own account, CTI2 - A member firm trading for its proprietary account, CTI3 - A member firm trading for another member, CTI4 - All other
[3]Enables multiple customer accounts to be margined together to receive OTC trade cross-account margin offsets, and to aggregate trades to calculate margin and associate the clearing member's account to the beneficial owner. For Cleared OTC products, and reporting requirements FCMs designate the the master/margin account for each customer.
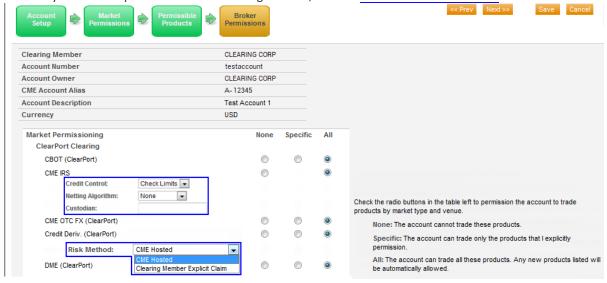
- Click **Save & Exit** to save the progress and exit the account creation process. The Account Confirmation page appears. Refer to Edit Accounts.

- Click **Cancel** to exit the account creation process and discard changes.

Note: New accounts appear in the account list as **Pending** until activated. Refer to Set Account Limits for information about account activation.

Setting Market Permissions

Market Permissions specify markets in which an account may trade. Permissions are enabled after the account is created.

To modify the market permissions of an existing account, refer to View and Edit an Account.

▷ **To set market permissions:**

1. On the **Market Permissions** page, for each product group, select **None**, **Specific**[1], or **All**.

   Note: By default, **Market Permissions** are set to **None** for all market types.

   For the following markets, additional information is required.

   - **CME IRS**- Specify **Credit Control**, **Netting Algorithm** and **Custodian**.

   - **Credit Derivative** - **Risk Method**:

     - **CME Hosted** - Margin requirements are calculated, using CME SPAN, and validated against the account's RAV limit. CDS product-level position limits, can be set, in notional terms, using the Credit Controls.

     - **Clearing Member Explicit Claim** - Trade requires explicit claim in FEC (i.e. pending clear).

   Note: Trading limits are required for Product groups. Unique trading limits are optional for Specific products.

2. To continue with the account creation process, click **Next**, which navigates to **permissible products**.

   Additional options:

1Set individual product trading limits for the selected market types. Explicit product limits are specified after clicking Next.

- Click **Save & Exit** to save the progress and exit the account creation process. The Account Confirmation page appears. Refer to Edit Accounts.

- Click **Cancel** to exit the account creation process and discard the changes on this page.

NOTE: New accounts appear in the account list as **Pending** until activated. Refer to Set Account Limits for information about account activation.

Setting Permissible Products
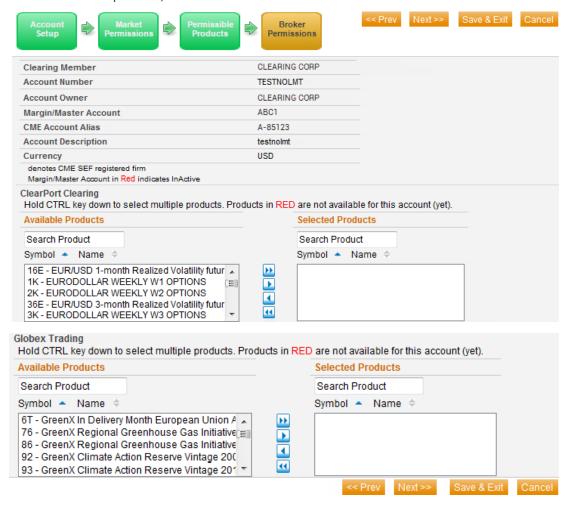
Permissible products are mapped if an account is assigned specific market permissions . Product availability is based on the selected market types. If All products are assigned, individual products cannot be selected on this page.

To modify the market permissions of an existing account, refer to View or Edit an Account.

▷ **To set permissible products:**

1. To add permissible products, in the **Available Products** pane, select the product(s).

   To search for a particular product, enter the first few characters of the ticker symbol or product name.

   To select multiple products, press **CTRL** + **select** additional products.

2. Click .

   To add all available products, click .

3. To remove permissible products, click the product in the **Selected Products** pane then click [◀].

   To remove all selected products, click [◀◀].

4. To continue with the account creation process, click **Next**.

   The Broker Permissions page appears.

   Additional options:
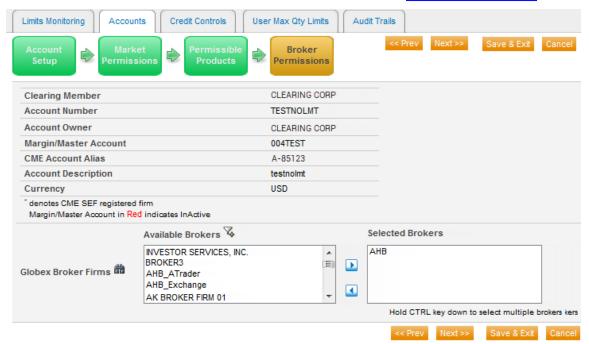
   - Click **Save & Exit** to save the progress and exit the account creation process. The Account Confirmation page appears. Refer to View or Edit an Account.

   - Click **Cancel** to exit the account creation process and discard the changes on this page.

NOTE: New accounts appear in the account list as **Pending** until activated. Refer to Set Account Limits for account activation information.

Assigning Brokers

Broker firms can submit single and dual-sided trades and claim, cancel, or decline single-sided trades. They can also have a relationship with one or more platforms. Using the following procedures, Clearing and Trader firm administrators can assign one or more **Broker Firm(s)** to an account.

To modify the brokers and asset managers of an existing account, refer to View or Edit an Account.

▷ **To assign brokers and asset managers to an Account:**

1. From the **Available Brokers** pane, select the **ClearPort Broker Firms** then click [▶].

   To select more than one Broker Firm, press **CTRL + select** additional brokers.

2. Repeat to select **Globex Broker Firms**.

   WARNING: Brokers can access and enter Globex orders on CME Direct, therefore, exercise caution when adding Globex Broker Firms.

3. To continue the account creation process, click **Next**.

The **Account Confirmation** page appears. Refer to Confirming Account Information.

NOTE: New accounts appear in the account list as **Pending** until reviewed and activated. Prior to activating, review the procedures for Setting Account Limits.

Additional options:

Click **Save & Exit** to save the progress and exit the account creation process. The Account Confirmation page appears. Refer to View or Edit an Account.

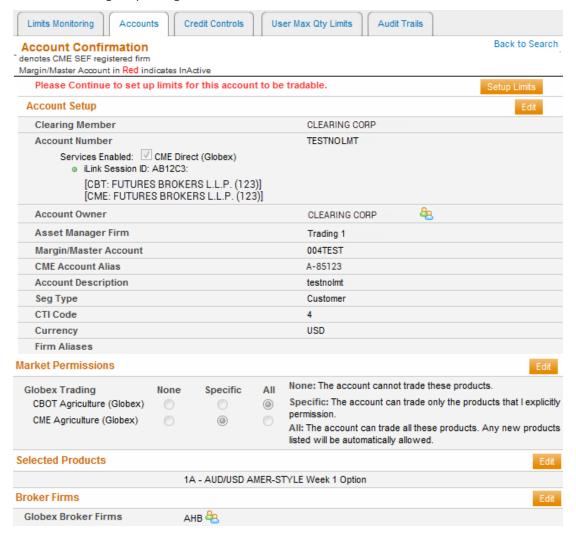Click **Cancel** to exit the account creation process and discard the changes on this page.

Confirming Account Setup / Information

The **Account Confirmation** page displays information that was entered in creation process.

Accounts are assigned pending status and not tradable until limits are set.

1. Review the information on Account Confirmation page.
2. To modify setup information, refer to the following:

- **Account Setup**

- **Market Permissions**

- **Selected Products**

- **Broker Permissions** - Clicking 🔧 displays a list of brokers within the firm.

2. If the information is correct, click **Setup Limits**.

> **NOTE**: Accounts are assigned pending status until limits are set.

Setting Account Limits

Account limits are set during the account creation or modification process. Accounts must have limits set to be tradable. This information displays on the Credit Controls tab.

> **NOTE:** A ClearPort or CME Globex limit **must** be set to complete the account creation process.
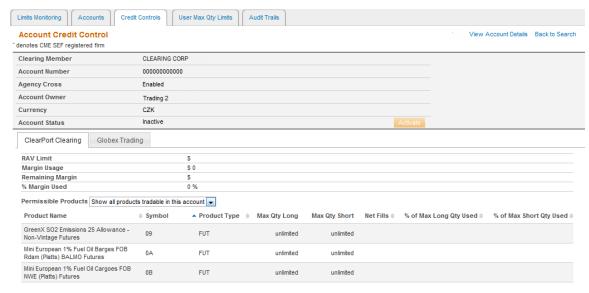
To modify the trading limits of an existing account or products, refer to View/Edit an Account or Credit Controls.

▷ **To set the limits for an account:**
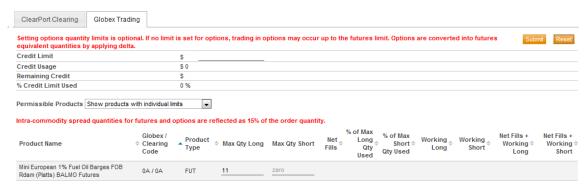
1. Click the **ClearPort Clearing** or **Globex Trading** tab.

> **NOTE:** RAV and/or Credit Limits must be set for the account to be tradable.. Product level limits are optional. ClearPort and Globex orders will be rejected if they exceed or potentially exceed the specified limits.

- For ClearPort Clearing, enter the **RAV Limit**.

- For Globex Trading enter the **Credit Limit**, **Max Qty**[1] and **Max Qty Short**[2] position.

2. (optional) Enter trading limits for listed products.

   - For Globex Trading, the default value is zero.

     NOTE: Adding an account or product-level credit limit changes the default product-level positions from **zero** to **unlimited**. Adding a product-level limit changes the default value from **unlimited** to a **specific** quantity.

3. If applicable, repeat steps 1 through 2 for the ClearPort or Globex tab.

   Note: New accounts appear in the account list as **Pending** until activated.

4. Click **Create as Active** to save the limits and activate the account.

   Additional option:

   Click **Create as Inactive** to save the limits without activating the account.

   Once a new account is created, CME Group automatically assigns a unique Account Alias that begins with the letter "A". This alias is viewable on the Account Information View and Edit screens.

---

[1]Maximum Quantity Long Position of the selected product
[2]Maximum Quantity Short Position of the selected product

Viewing and Editing Accounts

This section provides instructions to view and edit existing account information or resume account setup and activation. Account Manager enables searching and viewing a list of accounts and details.

The Edit feature is used to update the information prior to account activation or in an existing Account (e.g. adding a new Broker Firm or disabling an account). Account details can be edited on the Account or Credit Controls tab.

Note: Trader Admins can view all account information, but **Edit** only ClearPort Broker/Asset Manager Firms.

Only accounts with full entitlements can edit another account.

Example: An account entitled for ClearPort and Globex cannot be edited by an account that is enabled for Globex accounts only.

▷ **To view account details:**
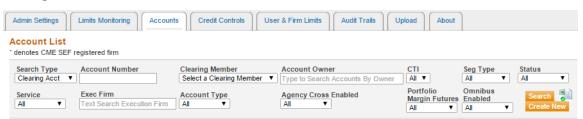
1. Click the **Accounts** tab.

2. Select the **Search Type**

   Searches Clearing on Trading account fields. Based on the selection, search fields vary.

3. For Clearing Account searches, specify any of the following optional criteria:

   Entering no criteria searches all clearing accounts for your firm.

   Clearing Account Search fields

   - **Account Number**
   - **Clearing Member**
   - **Account Owner** - Enter the first few characters of the **Account Owner**. Matches appear in a list, enabling you to click the desired selection.
   - **CTI**
   - **Seg Type**
   - **Status**
   - Service
   - **Exec Firm**
   - **Account type**
   - **Agency Cross Enabled**
   - **Portfolio Margin Futures**
   - **Omnibus Enabled**

4. For Trading Account searches, specify any of the following optional criteria:

   Entering no criteria searches all trading accounts for your firm.

Trading Account Search fields
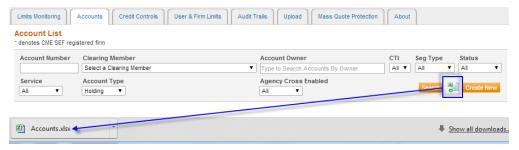
- **Account Number**
- **Managing Firm** - The Omnibus or Non-Omnibus firm which creates and manages sub-accounts.
- **Account Owner** - As you enter the first few characters, matches appear in a list, enabling selection of an Account Owner.
- **Status**

5. Click **Search** or press **Enter** (on the keyboard).

   Matching accounts appear in a list.

6. To view the Account Information page, click the blue **Account Number**.
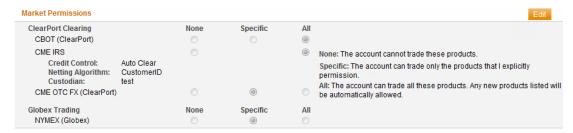
   Download - Clicking the Download to Spreadsheet button, enables saving the list of clearing accounts as a MS Excel file. This file can be updated, then uploaded as new or updated account information for multiple firms.

▷ **To edit account details:**

1. On the **Account Information: View** screen, click **Edit**.

   Account Information: View screen appears.

NOTE: If text is displayed in red, the assigned product or entity is no longer eligible due to assigned permissions. Contact the GCC for a specific explanation.

2. Select one of the following options:

Account Information: View

Bulk Upload Copy Add/Edit Firm Alias Credit Contr

 ̄ denotes CME SEF registered firm
Margin/Master Account in Red indicates InActive

Account Status	Active		Delete	De-activate
RAV Limit	$999999999			
Margin Usage	$0			
Remaining Margin	$999999999			
% Margin Used	0 %			

a. **Bulk Upload**: Upload account information for multiple accounts via a formatted MS Excel template.

b. **Copy**: Create a new account based on this account.

c. **Add/Edit Firm Alias**: An alternate account identifier specifies the recognized relationship (alias issuer) to the account.

d. Credit Control Info: View account limits and credit control information.

   Change Credit exposure or product details.

e. **Delete**: Delete an account that is no longer needed.

f. **Activate** / **De-activate** - To Activate [1] or Deactivate[2] an account, refer to the activation instructions.

g. **Edit**: Modify Account Setup information.
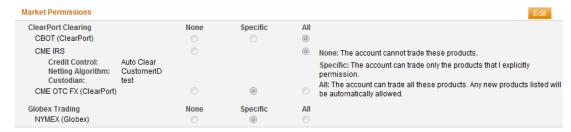
NOTE: Prior to modifying or adding venues, view the Limits Monitoring page to view and adjust limits against customer trading exposure. Failure to view and modify existing trades can result in a customer exceeding their limit.

Account Setup   Edit

Clearing Member	FINANCIAL SERVICES, INC
Account Number	123456
Services Enabled:	✓ ClearPort Clearing ✓ CME STP
Agency Cross	Enabled
Account Owner	AAA_Corp
Asset Manager Firm	
Margin/Master Account	100000000
CME Account Alias	A-173
Account Description	test house account
Seg Type	House
CTI Code	4
Currency	USD
Firm Aliases	

[1]If the account is currently inactive, this button reads Activate.
[2]Only accounts with full entitlements can Deactivate an account. For example: ClearPort and Globex accounts cannot be deactivated by an account that is enabled for Globex accounts only.

h. Modify Market permissions.
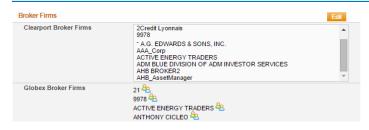
i. Update Selected products.

Enter Product limits for Selected Products.

j. Broker Firms

Note: Trader and Trader Risk Administrators can **Edit** Broker assignments.

Additional features include:

- - View Account, User & Firm Limit activity.
- Omnibus / Sub Account assignment

Creating Trading Sub Accounts

Using the Account Information: View page, non-member clearing and trading firm users, with *Trader Risk Administrator entitlement*, can create sub-accounts to manage their individual customer risk.

Users with *Trader Administrators* entitlements can view sub trading account information associated with their firm, but cannot create or edit sub-trading accounts.

The designation of omnibus or non-omnibus is specified by the Clearing Account, when the managing firm account is created.
Omnibus

- Created by the clearing member firm for a non-member clearing firm, flagged as an Omnibus account.

  Note: After sub-account creation, omnibus cannot be unchecked

- Non-member clearing firms create trading sub-accounts, under the clearing account.

- Risk can be managed at the individual customer level.

- Can assign any CME ClearPort registered trading firm as the trading sub-account owner.
Non-Omnibus/Trading Sub Account

- Created by the Clearing Member Risk Administrator.

- Trading firms create and manage risk at the trading sub-account level.

- The trading sub-account owner firm defaults to the account owner of the non-member clearing account and cannot be modified.

Additional Information:

- Sub-accounts have a dependency on clearing account's status and privileges. Deactivating a clearing account, or removing CME ClearPort service will result in trading sub-accounts to no longer be trade-able. If the clearing account is active, trading status is dependent on the trading sub-account.

- When using the copy feature on a clearing account, associated sub-accounts will not be copied to the newly created clearing account.

- By default, sub trading accounts will inherit market permissions, products, broker assignments and risk settings from the parent firm.

  - Specific Currency, RAV Limit and Product Limits can be setup for each sub-account, but is not required.

    Note: Market permissions, products and broker assignments cannot be edited on the trading sub-account level. Specific privileges must be edited on the clearing account level.

- Can be assigned to only one Clearing account.

- Once created, trading sub-account assignment cannot be changed. Sub-accounts must be deleted and created again.

- Authorized Trader Risk Administrators can view and update sub-account information and risk settings via the download / upload feature.

- Credit controls are evaluated at the trading sub account, clearing account then clearing firm level. Trades in excess of risk settings are not permitted.

Creating Omnibus / Non-Omnibus account.

Prior to creating a trading sub-account a clearing member risk administrator must create / set a clearing account as an Omnibus or Non-Omnibus account. For setup instructions, refer to Creating Accounts. Ensure that the following settings are configured for Trading Sub-Account creation:

- Platform
- Account Owner
- CME Account Alias
- Account Type / Holding
- Omnibus

▷ **To Create a Trading Sub-Account:**

1. Navigate to the Account Information: View page.

2. From the **Trading Sub Accounts** pane, click **Create New**.

3. In the fields that appear enter the required information:

- **Account Number**
- **Description**
- **Owner Firm** - Only available if the clearing account is designated as Omnibus (by the clearing member firm). As you type, predictive text displays available firms that match entered characters.
- **Status** - Active / Inactive

4. To finalize, click ✅.

Additional options:

- 🗑 - **Clear** populated fields and cancel sub account entry.

  Delete previously created trading sub accounts.

- ✏ - **Edit** the selected sub account.

- ❌ - **Cancel** edit.

- 🖊 - Delete the listed Owner Firm, enabling selection of another.

Creating a New Account Based on an Existing Account

New accounts can be created by duplicating data from an existing account.
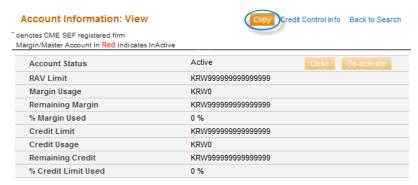
▷ **To copy an account:**

1. Click the **Accounts** tab.

2. Locate the desired account using a combination of the following methods:

   - Select from the **Account Owner** drop-down menu.

   - Click **Find** 🔲 and enter the first few characters of the name of the **Account Owner**.

   - Enter the account number in the **Account Number** field.

   - Select the account status (Active or Inactive) from the **Status** drop-down menu.

3. Click **Search** or press **Enter** (on the keyboard).

   All associated accounts appear.

4. In the **Account Number** column, select the Account link to copy from.

   The **Account Information: View** page appears.

5. From the **Account Information: View** screen, click **Copy**.

   Note: Any assigned sub-accounts are not copied.

6. Enter a new account number in the pop-up window and click **Copy**.

   The **Account Confirmation** screen appears with data pre-populated.

7. Modify account information as appropriate. Refer to View or Edit an Account for additional information.

8. Click **Create as Active** to save and activate the account.

    Click **Create as Inactive** to save the limits entered without activating the account. Requires navigating back to the account.

Deleting an Account

By using the CME Account Manager maintenance feature, clearing firm administrators can delete accounts. Only account administrators with full entitlements can delete another account.

Example: An administrator entitled for ClearPort and Globex cannot be deleted by an account that is enabled for Globex accounts only.

▷ **To delete an account:**

1. Click the **Accounts** tab, then select a **Clearing Member** from the pull-down list.

2. Locate the desired account using any of the following methods:

    - **Account Number**
    - **Clearing Member**
    - **Account Owner**

      - Click **Text Search** 🔲 and enter the first few characters of the name of the **Account Owner**.
    - **CTI**
    - **Seg Type**[1]
    - **Status**[2]
    - **Account type**[3]

3. Click **Search** or press **Enter** (on the keyboard).

    Matching accounts appear in a list.

1Customer Account, House Account, All
2Active, Inactive, Pending, All
3All Accounts, Holding Accounts

4. In the **Account Number** column, click the blue**Account Number**.

    The **Account Information: View** screen appears.

5. Click **Delete**.

    A confirmation dialog appears.

6. At the confirmation screen, click **Delete**.

    The account is no longer accessible and cannot be reopened.
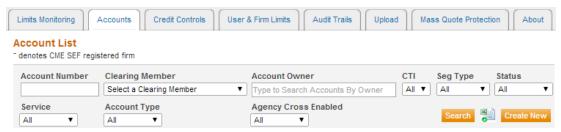
Downloading / Uploading Account Information

Using the Upload functionality clearing firm administrators can **download** account information in a MS Excel file, enter new or **updated** account information and **upload** to facilitate multiple ClearPort and CME Globex account updates.

Downloading

▷ **To download account information as a file:**
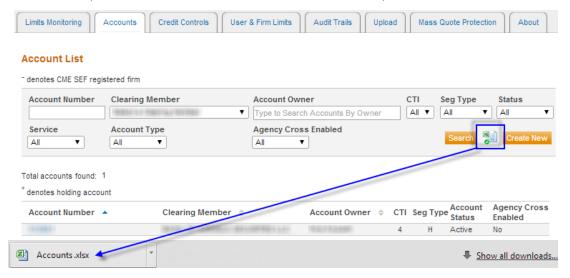
1. Click the **Accounts** tab.

2. Search for the desired clearing firm or account.

3. Click **Download to Spreadsheet**.

The **Accounts** spreadsheet is saved as a MS Excel file to the local computer.

The spreadsheet includes the following information. Uploaded updates requires users enter certain required information:

Required: - Click the link to view additional information about the field.

- Clearing Member firm
- Account number
- Account description
- Account Owner
- House/Customer Indicator
- CTI Code
- Seg type
- Currency
- Status

Optional:

- iLink session ID
- Agency Cross
- Account Type (holding acct)
- Asset Manager

  Note: If a relationship exists via the Trading and Asset Manager relationship for the specified account owner, and the asset manager is not referenced on the uploaded file, the system will not assign an asset manager to the account.

- Master Margin Account

Updating

▷ **To update the account information spreadsheets:**
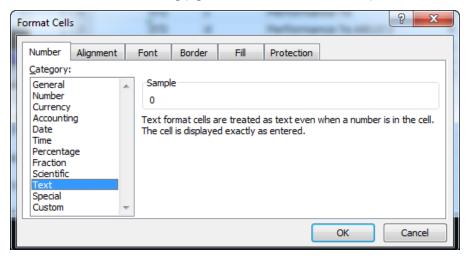
1. Select and **Open** the downloaded **Account** spreadsheet.

2. For new or updated records, enter **x** in the **Action** column

Note: The **x** is evaluated by a parser and indicates a modification has been entered in a particular row. Updates that do not have an **x** in the action row will not be processed.

3. On the Account.xlsx spreadsheet, enter **new** or **updated** account information.

New rows default to **General** spreadsheet formatting. To ensure entered information appears exactly as entered, format cells for **Text** formatting (right-click row/cell > Format Cells).

Example: In *general* formatting, an entry of "00115" is changed to "115", which may result in an upload error.

4. **Save** the file.

Uploading Bulk Account Information

▷ **To upload updated account information from the Accounts spreadsheet:**

1. **Download** and **update** the Accounts spreadsheet.

2. Click the **Upload** tab.

3. From the **Choose a Type** drop-down menu, select updated **Accounts** file.

4. On the Search Account page, enter an **Account Number** or **Description**, then click **Find**.
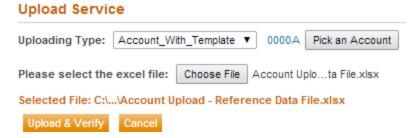
Note: General search criteria may match a large number of results. Narrowing entered criteria on subsequent search entries may help narrow the matching results.

5. From the list, select an **Account**.

The selected account is used as a template for newly created and updated accounts, including layout, market permissions, and properties.

Click **Choose File** and navigate to the updated **Accounts.xlsx** file.
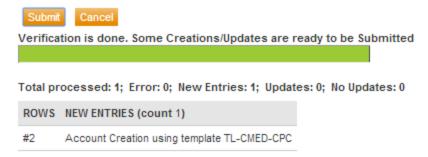
6. Click, **Upload and Verify**.

A progress bar displays, and a confirmation dialog indicates a successful upload.
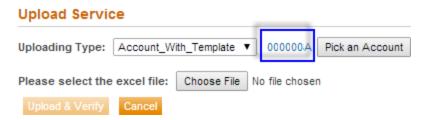
7. To finalize and confirm the updates, review the verification message and click **Submit**.

Uploading Bulk Accounts (Alternate)

▷ **To uploaded the updated file directly from the Account Information: View Page:**
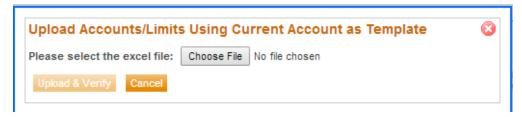
1. Click the **Account** link, or search for a clearing member or account.

2. Click **Bulk Upload**.

Account Information: View   Bulk Upload   Copy   Add/Edit Firm Alias   Credit Control Info   Back to Search

¨ denotes CME SEF registered firm
Margin/Master Account in Red indicates InActive

Account Status	Active	Delete	De-activate
RAV Limit	$999999999		
Margin Usage	$0		
Remaining Margin	$999999999		
% Margin Used	0 %		

The Upload Account/Limits dialog appears.

Upload Accounts/Limits Using Current Account as Template ⊗

Please select the excel file: Choose File   No file chosen

Upload & Verify   Cancel
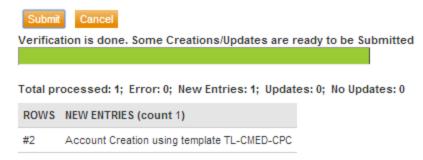
3. Click **Choose File** and navigate to the updated **Accounts** file.

4. Click, **Upload and Verify**.

A progress bar displays, and a confirmation dialog indicates a successful upload.

×

Validation of your upload file has completed. Please check the results below and click 'Submit' if you would like to proceed with the valid changes.

OK

5. To finalize and confirm the updates, review the verification message and click **Submit**.

Submit   Cancel

Verification is done. Some Creations/Updates are ready to be Submitted

Total processed: 1; Error: 0; New Entries: 1; Updates: 0; No Updates: 0

ROWS	NEW ENTRIES (count 1)
#2	Account Creation using template TL-CMED-CPC

Upload Errors

If the system detects an error, a message appears below the progress bar, indicating possible resolution. Update the file, Click **New** and attempt the upload again.

Starting Parsing rows...

No rows have been marked for Upload. Please use [*, x, X] in the ACTION column, to indicate which row you would like to upload.
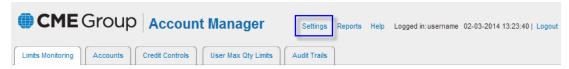
Restricting Trader Administrator Access

Clearing Firm Account administrators can opt out of enabling Trader administrators access to accounts that are cleared by their clearing firms.
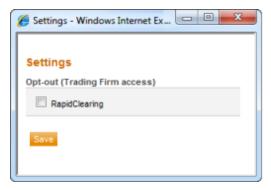
▷ **To restrict Trader Administrator privileges:**

1. Click the **Settings** link.

2. Select the trading **firm** to opt out.

3. Click **Save**.

   All Trader Admins will have permissions.

Credit Controls
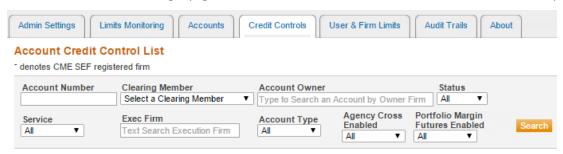
The Credit Controls Tab enables access and modification of account-level credit exposure information.

Trader administrators use the credit controls functionality to search and view credit control detail for their accounts. They cannot edit account level credit controls.

▷ **To view account credit details:**

1. From the main Account Manager page, click the **Credit Controls** tab. The **Account Credit Control List** page appears.
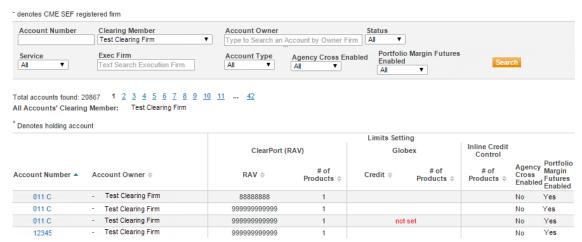
2. Locate the account using any of the following methods:

   - Enter the **Account Number**.
   - Select the **Clearing Member**.
   - Select the **Account Owner**.
   - Select the **Account Status** (Active or Inactive).
   - Select the **Service**.
   - Specify the **Account Type**[1].
   - Specify whether the account is **Agency Cross Enabled**.

---

[1]Search Holding accounts only or All accounts.

3. Click **Search** or press **Enter** (on the keyboard).

For each matching account the following information appears:

- Account Number, Clearing Member and Account Owner
- Limits
  - ClearPort (RAV) and Globex (Credit) limits.
  - Number of products that have positions limits.
  - If the account is Agency Cross enabled.
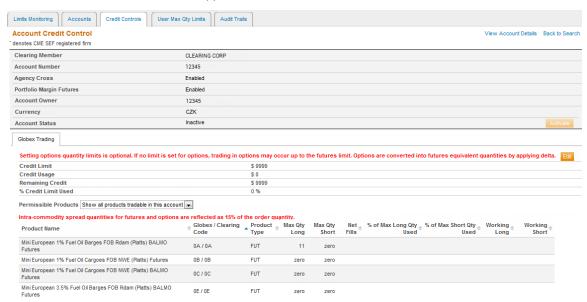
NOTE: The example shows credit limit and usage information for both ClearPort and Globex. If the search results only include accounts that trade on a single venue, only the column for that venue is presented.

4. In the **Account Number** column, click the blue **Account Number**.

The **Account Credit Control** screen appears.

5. The following functions are available:

- Edit **Limits**.
- **De-activate**[1] the account

   > **NOTE:** If the account is currently inactive, this button reads **Activate** and can be clicked to activate the account.

- To modify the account credit limits, click **Edit**.
- Modify position limits for individual futures and options products

   > **NOTE**: The Account must be configured with at least one SpecificMarket Permission.

- Modify Account Information

Modifying Product Limits
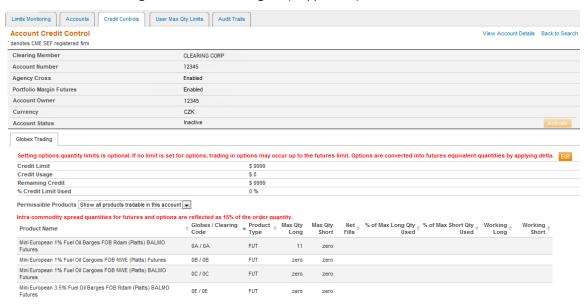
Account limits can be modified for individual ClearPort and CME Direct futures and options products assigned to an account. Trader administrators can view and set product specific limits using the Credit Controls functionality.

> **NOTE**: At least one Market Permission must be **Specific** and one product assigned.

▷ **To set product limits:**

1. Locate the account using steps 1 through 4 of the Credit Controls account search.

   Futures and options products appear on the **Account Credit Control** screen.

2. Select the **Globex Trading** or **ClearPort Clearing** tab (if applicable).

Limits Monitoring	Accounts	Credit Controls	User Max Qty Limits	Audit Trails		
Account Credit Control					View Account Details	Back to Search
⁺ denotes CME SEF registered firm						
Clearing Member		CLEARING CORP				
Account Number		12345				
Agency Cross		Enabled				
Portfolio Margin Futures		Enabled				
Account Owner		12345				
Currency		CZK				
Account Status		Inactive				Activate

Globex Trading

Setting options quantity limits is optional. If no limit is set for options, trading in options may occur up to the futures limit. Options are converted into futures equivalent quantities by applying delta. **Edit**

Credit Limit	$ 9999
Credit Usage	$ 0
Remaining Credit	$ 9999
% Credit Limit Used	0 %

Permissible Products Show all products tradable in this account ▾

Intra-commodity spread quantities for futures and options are reflected as 15% of the order quantity.

Product Name	Globex / Clearing Code	Product Type	Max Qty Long	Max Qty Short	Net Fills	% of Max Long Qty Used	% of Max Short Qty Used	Working Long	Working Short
Mini European 1% Fuel Oil Barges FOB Rdam (Platts) BALMO Futures	0A / 0A	FUT	11	zero					
Mini European 1% Fuel Oil Cargoes FOB NWE (Platts) Futures	0B / 0B	FUT	zero	zero					
Mini European 1% Fuel Oil Cargoes FOB NWE (Platts) BALMO Futures	0C / 0C	FUT	zero	zero					
Mini European 3.5% Fuel Oil Barges FOB Rdam (Platts) BALMO Futures	0E / 0E	FUT	zero	zero					

3. On the **Permissible Products** drop-down menu, select **Show products with individual limits** or **Show all products tradable in this account**.

   > **Note**: For options, **Max Qty Long** and **Max Qty Short** are calculated for the futures equivalent quantity of options.

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[1]Only accounts with full entitlements can Deactivate an account. For example: An account entitled for ClearPort and Globex cannot be deactivated by an account that is enabled for Globex accounts only.

4. Click **Edit**.

5. Modify the limits:

- Credit limit - For the entire account.

- Maximum quantity long and/or short - Per product. The following formula applies to options:

  - **Long Qty Usage (Options)** = Working Long Calls + Traded Long Calls + Working Long Puts + Traded Long Puts – (Traded Short Calls + Traded Short Puts).

  - **Short Qty Usage (Options)** = Working Short Calls + Traded Short Calls + Working Short Puts + Traded Short Puts – (Traded Long Calls + Traded Long Puts).

6. To finalize, click **Submit**.

Options Limit Calculations

Setting limits for options products is optional. If no limit is set, trading may occur up to the futures limit. Risk controls do not allow for trading only in options. The underlying future must have a non-zero quantity limit. Options are converted into futures equivalent quantities by applying the delta. When an options limit is "zero" and the underlying future has a quantity limit or displays "unlimited", options trading may occur (subject to the Futures product and/or margin limits).

Example:

- Account: ABC

- Credit Limit: $5,000,000

- Eurodollar Futures Max Long Quantity Limit: 10,000

- Eurodollar Futures Max Short Quantity Limit: 10,000

- Eurodollar Options Max Long Quantity Limit: 20,000

- Eurodollar Options Max Short Quantity Limit: 20,000

- Avg. Maintenance Margin Rate for Eurodollars: $400

The order is entered as:

- Buy 10,000 Eurodollar DEC14 9950 Straddle

- GEZ4 9950 Calls (.51Δ)

- GEZ4 9950 Puts (.49Δ)

Note: The example assumes there are no existing fills or orders for the account.

Futures

Max Qty Short Usage = Buy Puts (10,000*.49) = 4,900

Options

- Max Qty Long Usage = Buy Call (10,000) + Buy Put (10,000) = 20,000

- Max Qty Short Usage = 0

- Margin Usage = 5,100 * $400 = $2,040,000

User & Firm Limits

CME Direct maximum quantity limits and firm/user price band limits are optional settings available at the product level.

- **User Max Qty Limits** - For energy and metals products, users can set maximum quantity per order limits.
- **Firm / User Price Band Limits** - Users can set price band limits, which are used for order and price validation, rejecting orders outside of the given band.

User Maximum Quantity Limits

For energy and metals products, users can set maximum quantity per order limits. Orders in excess of the set limits will be rejected. Following is an overview of Instruments, Groups and products for which quantity limits can be set.

Quadrant	Product Group	Product Types
- Energy - Metal	Futures	- Outright - Intra-Commodity Spreads[1] - Strips [1] - Inter-Commodity Spreads [1]
- Energy - Metal	Options	- Outright - Intra-Commodity Spreads[1]

Limits set on spreads apply only to spread orders, not the component legs. If only Outright limits are set, outright limits will impact spread orders by extending the limit to each component leg of a strategy.

Example: If Crude Oil / Futures have an Outright limit of *100* and all spread limits are "unlimited", any attempts to submit a 100-lot butterfly in Crude Oil / Futures would fail because the component legs would be treated as an individual order and validated against the Maximum Order Quantity limit. *Leg 1* has a quantity of *100*; *Leg 2* has a quantity of *200* and *Leg 3* has a quantity of *100*. Leg 2 violates the limit, so the order may not be submitted.

To modify the trading limits of an existing account or products, refer to View/Edit an Account or Credit Controls.

Setting Maximum Quantity Limits

Using the User & Firm Limits - User Max Qty Limits functionality, users can set set maximum quantity limits. In addition, maximum user clip sizes can be viewed, specified or updated via a download / upload process.

▷ **To search User Max Qty Limits**

1. Click the **User & Firm Limits** tab.
2. Locate a user by specifying in the search fields.

---

[1]If a specific limit is set for a product's spread or strip, it will be the effective limit for orders in the spread or strip; otherwise, the product's outright limit will be the effective limit for orders in the spread or strip.

- Select a **Clearing Member** (mandatory).

- Enter a **User Name**.

  NOTE: Enter either the user's first, last or user name. Do not enter the first and last name.

- Select a **Firm**.

- Select the **Account Status** (Active or Inactive).

3. Click **Search** or press **Enter** (on the keyboard).

   Matching accounts appear in a list and the following information is included:

   - Broker or Asset Manager user account name

   - Role

   - Clearing or Executing Firm Name

   - Clearing Member Firm

   - Number of products for which specific limits are set

CME Direct

User Max Qty Limits	Firm / User Price Band Limits			

Clearing Member	User Name	Firm		
CL-FIRM	Type to Search a User	Type to Search a Firm		Search

Total user accounts found: 56

User ▲	Role(s)	Firm ⇕	Clearing Member ⇕	# of Products Set
ACTIVE TRADER (ATRADERUSER)	trader	T1-TRADINGFIRM	CL-FIRM	8
AGEC (AGEC)	broker / trader	ATS_BROKER1	CL-FIRM	723
AK (AKTRADER)	trader	T1-TRADINGFIRM	CL-FIRM	724
ATS_BRK1USER(ATS_BRK1USER)	broker	ATS_BROKER1	CL-FIRM	8

▷ **To set user maximum quantity limits:**

1. After performing a search, select a **User** from the list.

   The user maximum quantity limit settings screen appears.

   Note: By default, all products have unlimited quantity limits for each of order type.

CME Direct

Copy Edit

Credit Control Type Max. Quantity per Order ▼

Quadrant ▶ Category / Type	Globex / Clearing Product Code	Outrights	Intra-Commodity Spreads ⚠	Strips ⚠	Inter-Commodity Spreads ⚠
▼Energy					
▼Brent Crude / Futures					
	A1C / 1C Brent CFD (Platts) vs. Brent Front Month (Platts) Futures - NYMEX	1000	2000	800000000	800000000
	A6W / 6W Brent CFD (Platts) vs. Brent Second Month (Platts) Futures - NYMEX	50	4000	800000000	800000000
	A7G / 7G Dated Brent (Platts) Daily Futures - NYMEX	800000000	800000000	800000000	800000000

2. Click **Edit**.

    NOTE: If this is the first time setting up CME Direct maximum quantity per order limits, click Edit.

3. Select a **Quadrant**, then select the **Category/Type**.

    A list of available products appears.

4. Enter the **maximum quantity** per order a user may submit:

- Outrights

- Intra-Commodity Spreads

- Strips

- Inter-Commodity Spreads

To prevent order entry for the specified product and order type, enter a limit of zero (0).

- To set all unset quantity per order limits to zero, click **Set All Unset Limits to Zero**. New products are assigned the default value regardless of whether unset limits are set to zero (ClearPort-unlimited/Globex-zero).

- To restore default (unlimited) limits, click **Remove All Zero Limits**.

5. When done, click **Submit** .

Additional Options

- **De-Activate** - This feature prevents a user from entering Globex orders without changing maximum quantity per order settings. a de-activated user may only cancel working orders. Previously established Clip size limits are stored and may be updated while the user is deactivated. When a user is re-activated, the most recently set maximum quantity per order limits are enforced.

- **Re-Activate** - Restores default or custom quantity per order limits.

- **Copy** - Copy the user's credit control settings to other CME Direct users.

- **Audit Trail** - Modifications to quantity limits per order are recorded in the audit trail with the following change codes:
  - **OTMQPO** = outright max quantity per order
  - **INTRAMQPO** = intra max quantity per order
  - **INTRMQPO** = inter max quantity per order
  - **STRIPMQPO** = strip max quantity per order

▷ **To copy limits to other accounts:**

Quantity per order limits can be applied to up to five other users.

1. Locate the desired account.

2. Click **Search** or press **Enter** (on the keyboard).

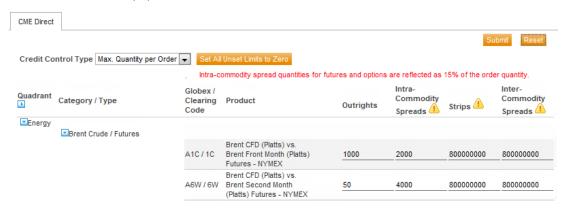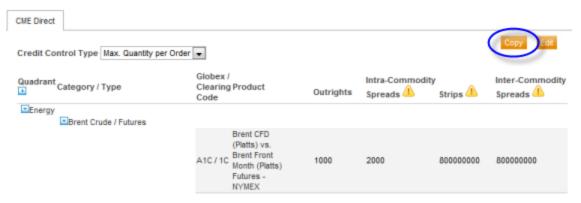   Matching accounts appear in a list.

3. Select a **User** from the list.

   The user maximum quantity limit settings screen appears.

4. On the CME Direct User Max Qty Limit screen, click **Copy**.
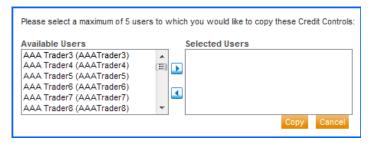
5. Select an available user, then click ▶.

   To select more than one user, press **Ctrl** and select an additional user.

6. On the Selected Users screen, click **Copy**.

   Existing limits will be overwritten.

7. To confirm, click **Yes**.

Firm / User Price Band Limits

Using Firm/User Price Band Limits, CME Globex and clearing firm administrators can set price bands for CME Direct Firms and Users. Once applied, price bands are used in the evaluation of limit orders. Limit orders above or below a product's Last Traded Price or Best Bid or Offer, inclusive of the price band will be rejected. The Price Band Variation Range (PBVR) adjusts dynamically as market state, last traded price, and best bid/offer changes. Trading firm administrators have view only privileges.

The Firm / User Price Band Limits functionality is used for setting Price Band Variation (PBV) limits and creating templates for firms, users and products.

- Assign price band limits to individual users and firms
- Using templates to assign price bands to multiple firms
- Create and Save a template
- View and update firm and user price band limits previously applied by a template

Apply Price Band Limits to Users and Firms

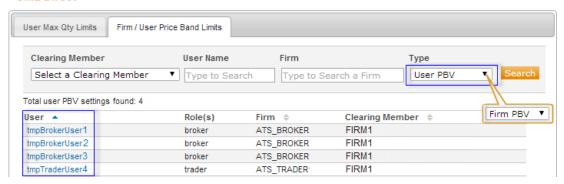Price band limits enable CME Globex and clearing firm administrator to set price bands for a selected user or firm.

▷ **To Apply Firm/User Price Band Limits:**

1. Click the **User & Firm Limits** tab, then select the **Firm / User Price Band Limits** tab.

2. Select **User PBV** or **Firm PBV**.

   - Selecting *User PBV* adds the **User Name** and **Firm** search fields, which are used to filter available users at the specified firm.

   - Selecting *Firm PBV* adds the **Firm** field, which is used to filter from available firms.

2. Click **Search** or press **Enter** (on the keyboard).

3. From the list of PBVs, select a **User** or **Firm**.

The default view is **Products with individual limits only**.

4. To view additional products, select from the available options:

   - **Show Products with individual limits** - To show all products, clear the checkbox.

   - **Select Product Group** - Filter the product list by asset class and category/type, or choose the option to display all available choices.

   - **Text Search** - Enter a product name, Globex or Clearing code; predictive text actively filters possible matches.

5. Move the pointer over the row and select the **Edit Limits** (🖉) icon.

6. **Specify** and **Confirm**(✅) the Price Band in minimum number of ticks.

Upon confirming the price band limit, the limit is applied to the user or firm.

Assign Price Band Limits with a Template

Using templates, Price Band Limits can be applied to multiple firms or users.

When a price band template is updated, CME Globex and clearing firm administrators can view a list of firms and users, to which the template has been applied, and optionally *apply* the updated settings to selected firms and users or *maintain* existing price band limits.
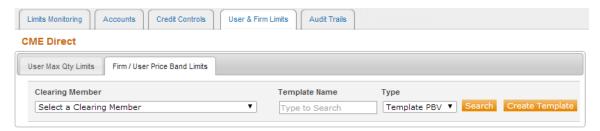
▷ **To Apply Firm/User Price Band Limits using a template:**

1. Click the **User & Firm Limits** tab, then select the **Firm / User Price Band Limits** tab.

2. Select a **Clearing Member** or search for a particular **Template**.

   Note: Clearing Member firm is required.

3. In the Type field, select **Template PBV**, then click **Search**.

   Note: From the Firm / User Price Band Limits tab, select Search to view a list of all templates for all firms and users.

   Results appear below the search fields.
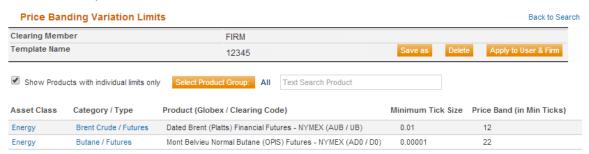
4. From the list, **Select** a template.

   A list of configurable products appears. The default view is **Products with individual limits only**.

   Available filter options include:
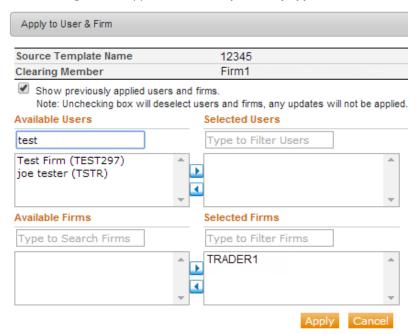
- **Show Products with individual limits** - To show all products, clear the checkbox.
- **Select Product Group** - Filter the product list by asset class and category/type, or choose the option to display all available choices.
- **Text Search** - Enter a product name, Globex or Clearing code; predictive text actively filters possible matches.

5. From the list, move the pointer over the row and select the **Edit Limits** (✎) icon.

6. **Specify** and **Confirm** the Price Band in minimum number of ticks.
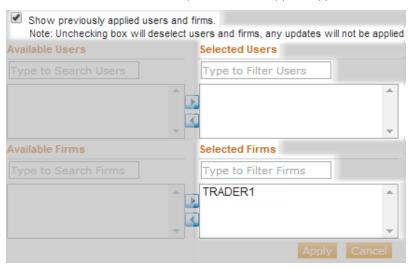
7. Click **Apply to User & Firm**.

On the dialog box the appears, the **Show previously applied users and firms** checkbox is selected by default.

Firms and users to which the template has been applied appear in the **Selected Firms** and **Selected Users** panes.
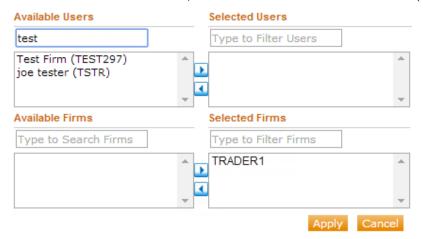
8. Select whether to apply the price band to firms and users to which the template has been previously applied.

- **Checked** - Apply updated settings to selected firms and users.
- **Unchecked** - Maintain existing price band limits.

9. In the **Available Users/Firms** fields, enter the name of the Target Firm and User.

Note: As you type, predictive text filters from all available choices.

10. From the list of available choices, **Select** a user from the list then click **Add** (▶).

Available Users

test

Test Firm (TEST297)
joe tester (TSTR)

Selected Users

Type to Filter Users

Available Firms

Type to Search Firms

Selected Firms

Type to Filter Firms

TRADER1

Apply   Cancel

11. To confirm selections, click **Apply** and select a response to the confirmation dialog.

The selected users and firms will be applied the price banding limits of template [12345]. Any existing price banding limits for the selected users and firms will be overwritten. Are you sure?   Yes   No
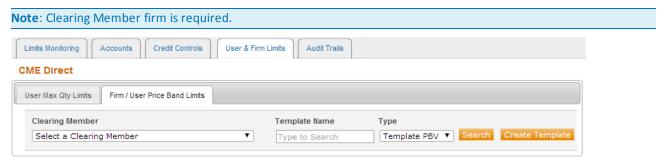
Orders beyond the specified limit, for the selected Firm and / or User, will be rejected.

Create Template

After assigning price band limits, a PBV limit configuration can be saved as a template and assigned to a firm and/or user.

▷ **To Create a Price Band Limit Template:**
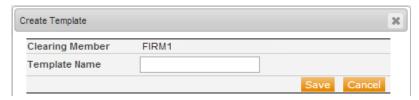
1. Click the **User & Firm Limits** tab, then select the **Firm / User Price Band Limits** tab.

2. Select a Clearing Member, then click **Search**.

Note: Clearing Member firm is required.

Limits Monitoring	Accounts	Credit Controls	User & Firm Limits	Audit Trails

CME Direct

User Max Qty Limits	Firm / User Price Band Limits

Clearing Member   Template Name   Type

Select a Clearing Member ▼   Type to Search   Template PBV ▼   Search   Create Template

Results appear below the search fields.

3. Click **Create Template**.

4. In the dialog that appears, specify a **Name**, then click **Save**.

The default view is **Products with individual limits only**.

5. To view additional products, select from the available options:

- **Show Products with individual limits** - To show all products, clear the checkbox.

- **Select Product Group** - Filter the product list by asset class and category/type, or choose the option to display all available choices.

- **Text Search** - Enter a product name, Globex or Clearing code; predictive text actively filters possible matches.

6. Move the pointer over the row and select the **Edit Limits** ( ) icon.

7. **Specify** and **Confirm** the Price Band in minimum number of ticks.

8. Click **Save As**.

The PBV configuration is saved and can be used for multiple firms and users.

Note: Clicking **Delete** removes the template from a Firm or User list. This does not affect limits have been previously assigned.

Download / Upload User Clip Sizes

Using a file upload process on the User & Firm Limits - User Max Qty Limits functionality , Clearing Member Administrators can view, specify and update maximum user clip sizes for their CME Globex enabled accounts. The process includes:
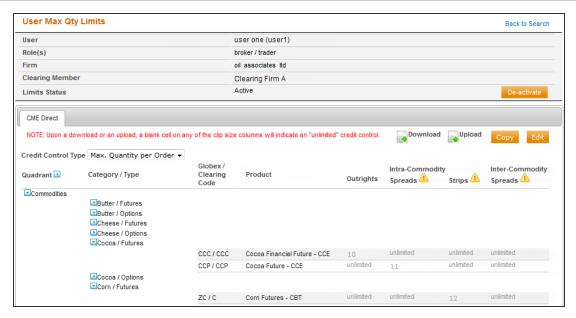
- **Download** - Clearing Member Administrators can download a MS Excel file to view privileges for user accounts, including: products for which a clip size limit is set and the maximum permissible clip size.

- **Upload** - Clearing Member Administrators can upload a modified MS Excel file to make changes to maximum clip size limits for multiple users.

Viewing Clip Sizes via Download

▶ **To download User Max Qty Limits:**
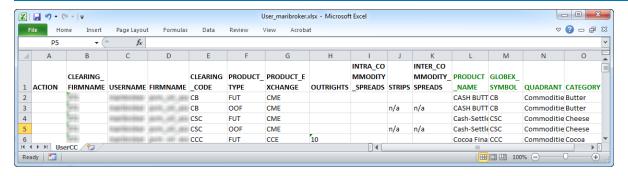
1. Perform a User & Firm Limits search.

2. From the search results, select a **User**.

3. On the User Max Qty Limits page click (download).

A MS Excel spreadsheet is downloaded and includes columns that correspond User Max Qty Limits User attributes.

Columns with **Green Headings** are for reference only and not required for upload.

Note: **Clip Size** - A **blank** cell indicates an unlimited clip size value. **Zero** - means trading this product, for the type, is not permitted.

MS Excel Column	Equivalent CME Account Manager Column
ACTION	n/a
CLEARING_FIRMNAME	Clearing Member (Account Number)
USERNAME	User
FIRMNAME	Firm
CLEARING_CODE	Globex / **Clearing Code**
PRODUCT_TYPE	Category / **Type**
PRODUCT_EXCHANGE	Product - listed after product name
	Example: Cocoa Future - CCE
OUTRIGHTS	Outrights
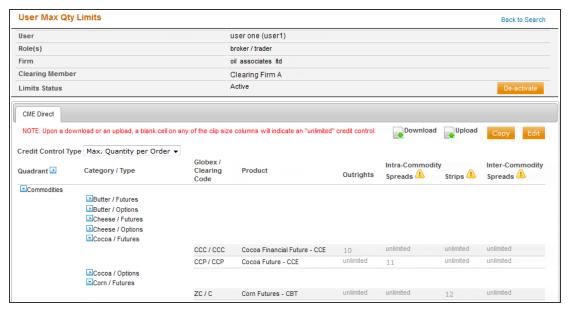
MS Excel Column	Equivalent CME Account Manager Column
INTRA_COMMODITY_SPREADS	Intra-Commodity Spreads
STRIPS	Strips
INTER_COMMODITY_SPREADS	Inter-Commodity Spreads
PRODUCT_NAME	Product
GLOBEX_SYMBOL	**Globex** / Clearing Code
QUADRANT	Quadrant
CATEGORY	**Category** / Type

Specifying / Updating Maximum Clip Sizes via Upload
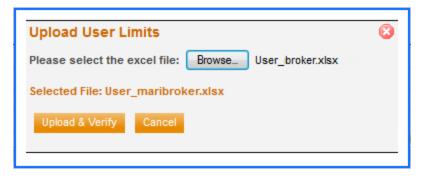
▷ **To update User Max Qty Limits via upload:**

1. Search for a User and Download the MS Excel file.
2. Specify information to be updated:
   - **User** / **USERNAME** - Multiple users can be uploaded via the same spreadsheet.
   - **Clip Size**: Outrights, Intra-Commodity Spreads, Strips, Inter-Commodity Spreads.
3. In the **ACTION** column, indicate rows to be processed, by entering **X**, **x**, or *****.

   Additional information can be included but will not be processed unless the ACTION column is indicated.
4. **Save** the file to an accessible location.
5. Perform a User & Firm Limits search.
6. From the search results, select a **User**.

7. On the User Max Qty Limits page click (upload).
8. **Browse** to the updated MS Excel file.

The Upload dialog is updated to include the name of the referenced file.

9. Click **Upload & Verify**.
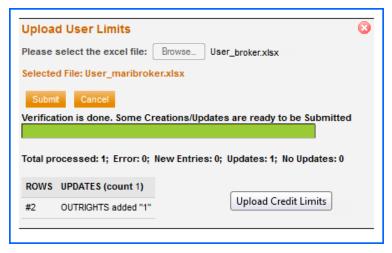
A validation is performed and a confirmation dialog appears.

- **Error** - If validation error occurs it is listed on Upload User Limits dialog.

  Example: No rows have been marked for Upload. Please use [*, x, X] in the ACTION column, to indicate which row you would like to upload.

- **Success** - A confirmation message appears.

10. Click **OK** to continue.

A summary messages lists rows and updates to be performed.

11. To confirm, click **Submit**.

The file is uploaded and a confirmation message appears.

12. Click **OK** and close the upload dialog.

Account Audit Trails

CME Account Manager tracks all user activity, allowing users to view and filter search results from the **Audit Trails** tab. Users can search and view Account or User and Firm Limit activity including accounts pending activation and the user that made changes to specific accounts.

▷ **To search account activity:**

1. Click the **Audit Trails** tab.

2. Select the **Account** or **User & Firm Limits** tab.

3. Filter the available list of activity by selecting from the following search criteria:

   *Available for **User & Firm Limits** tab only.

   - **Limit Type***
   - **Clearing Member**
   - **Control Entity Name (User) ***
   - **Start Date/End Date** of CME Account Manager activity.
   - **Modifier[1]**.
   - **Account Number**
   - **Type**
      - Account
      - Credit Control
      - Market Type Permissioning
      - Firm Rights
      - Alias
      - Threshold
      - User Max Qty Limits Account *
      - User Max Qty Limits *

4. Click **Search** or press **Enter** (on the keyboard).

5. In the **Account Number** or **User** column, click the blue highlighted link.

6. If desired, use the Filter features to refine results further:

   - Start Date
   - End Date
   - Modifier
   - Type

---

[1]The user that made the change.

Mass Quote Protection

Mass Quote Protections (MQP) allow mass quote eligible customers to configure one or more exposure values at the Instrument Group or the Product Line level that, if breached, will cause:

- Cancellation of all resting quotes

- Rejection of additional mass quotes until a new Mass Quote message is submitted with the MQP reset instruction (tag 9773-MMProtectionReset=Y).

Utilizing the Mass Quote Protection (MQP) administrative functionality, Clearing Firm Risk Administrators can view and manage mass quote protection values and settings, while Executing Firm Risk Administrators can only view mass quote protection values and settings.

To access this functionality, executing firm iLink session(s) must be enabled for MQP and individuals must be assigned the role of Clearing Firm or Executing Firm Risk Administrator. Individuals interested in obtaining either of these roles should contact their Clearing Firm Administrator.

Initial mass quote protections setup is performed by the GCC. Customers can set up and maintain the maximum exposure values for one or more of the following. To enable MQP at least one Product Group Reference Value must be assigned. MQP is effective on an intra-day basis.

Click the following link to view a brief video that introduces the Mass Quote Protections functionality and provides instructions and links to additional resources: ◼️ - Mass Quote Protections configuration

Type	Reference Value[1]	Description
New Quote Fill	X	Number of new quote executions (Fills). Increments each time a fill occurs for a new quote.
Execution	Y	Number of separate executions (Fills). Increments each time a fill occurs.
Traded Quantity	Z	Gross quantity of contracts traded.
Delta	D	Aggregate delta value from each execution (Fill). Indicates equivalent number of futures.
Buy/Sell	Buy/Sell	Net quantity of contracts traded.

Note: For additional information on search fields and configurable values, refer to the CME Group Client Systems Wiki.

1Indicates the shorthand term for the given parameter, and is not a messaging value.
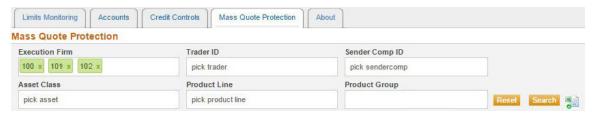
View MQP Protections

Permission to view MQP is available to clearing and executing firms and initially coordinated through GAM and implemented by the GCC. For setup and further information, contact your Global Account Manager. Use the following instructions to view MQP values for market participants or products.

▷ **To view mass quote protections:**

1. Click the **Mass Quote Protection** tab.

2. From the search fields, select or enter market participant or product **Criteria**.

   - Market Participant fields - **Execution Firm**, **Trader ID**, **Sender Comp ID**.

     Available choices include firms to which the user is assigned.

   - Product fields - **Asset Class**, **Product Line**, **Product Group** (also known as **Instrument Group**)

     Available choices include permissible products assigned to the firm.

> **Note**: Clicking **Search** without entered criteria displays all mass quote details entitled to your firm and user profile. To clear all selections and perform a new search, Click **Reset**.

   - Specifying additional participants and products adds tags to the search fields
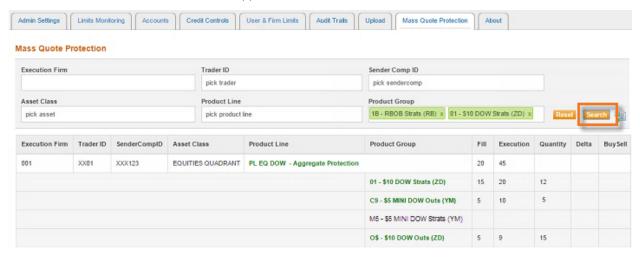
   - Clicking **Remove tag** deletes criteria from the search.

3. Click **Search** or press **Enter** (on the keyboard).

Search results that match entered criteria appear below the search fields.

MQP for Product Lines and Product Groups

Following is a description of how MQPs are represented in CME Account Manager:

Product Line Protection

- **Enabled** - For Product Group Types [1], within a Product Line, mass quotes greater than or equal to a **Product Group** value will be rejected and all remaining quotes within the entire product line are canceled.

  Appears as **Green**, **bold** text that specifies "**Product Line - Product Line Protection**" and maximum exposure values **are not** entered for the Product Line.

  In edit mode, a checkbox appears in the Product Line field. For Product Line protections to be active, at least one individual product group MQP is required.

- **Not Enabled** - For Product Groups, within the Product Line, mass quotes greater than or equal to a **Product Group** value will be rejected. Unlike Product Line protection, quotes for other Product Groups, within the Product Line, are not canceled.

  Black non-bold text specifies "No Product Line Protection" and maximum exposure values **are not** entered for the Product Line.

---

[1]Fill Execution Quantity Delta Buy/Sell

Product Line **Aggregate** Protection

- **Enabled** - Mass Quotes that exceed the value, specified in the Product Line, are rejected and all quotes for the listed Product Groups are canceled.

  Appears as **Green**, **bold** text that specifies " **Product Line - Aggregate Protection**" and maximum exposure values **are** entered for the Product Line.

Product Line	Product Group	Fill	Execution	Quantity	Delta	BuySell
PH1 - Aggregate Protection		1				

  Individual Product Group protections less than the Aggregate value will result in rejected quotes at the lower level (for the listed Product Group only).

- **Not Enabled** - Refer to Product Line or Product Group protection.

Product Groups Protection

- Listed as the full product description: Group Code - Product Group Name (Symbol).

- **Enabled** - A Product Group value identifies Product Groups for which MQP is enabled. Mass quotes that exceed the value will be rejected.

  Appears as **Green**, **bold** text. An individual product group value must not be greater than the aggregate value.

Product Group
OG - Gold Options (GC)

- **Not Enabled** - Black non-bold text identifies product groups for which MQP is not enabled. All mass quotes will be rejected.
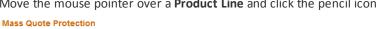
Manage MQP Protections and Values
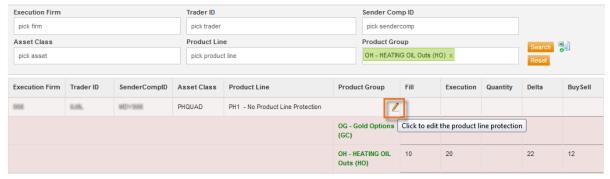
Use this feature to add, delete or modify Product Line and Group values. MQP management is available to Clearing Firm Risk Administrators only. Upon update and confirmation MQP updates are effective on the next submitted mass quote.

▷ **To manage MQP:**

1. Conduct a MQP search.

2. Move the mouse pointer over a **Product Line** and click the pencil icon (✎)

3. Configure a protection method, by **Select** / **Deselect** a checkbox.

> **Note**: Deselecting a checkbox or deleting Product Line values disables previously assigned Product Line Monitoring, but does not clear individual Product Group protections. Once confirmed, the status changes to **No Product Line Protection**.

- **Aggregate**:
  - **Product Line** - Unchecked
  - **Values** - Entered at Product *Line* level
- **Product Lines**:
  - **Product Line** - Checked
  - **Values** - Entered at Product *Group* level
- **Product Group** -
  - **Product Line** - Unchecked
  - **Values** - Entered at Product *Group* level

4. Enter MQP protection **values**.

> **Note**: A value must be entered for at least one of Product Line or Group reference value / type: **Fill, Execution** and **Quantity**, **Delta** and/or **Buy/Sell**.

Values are optional and must be specified in positive whole integers between 1 through 9999.

5. To confirm the MQP configuration, click **Submit Changes** (✓).

> **Note**: Clicking ✗ cancels updates, reverts to default values and collapses the individual product group view.

A confirmation dialog appears with the proposed updates.

6. To accept protection changes, select **Yes**.

MQP configurations are effective on the next submitted mass quote.

▷ **To delete Product Line or Groups:**
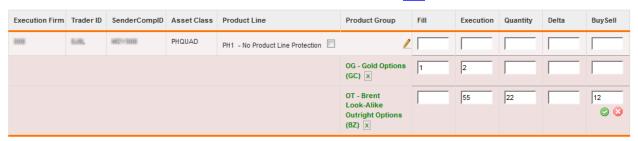
Clicking **Delete** removes MQP and entered Product Group values, but does not remove the Product Group from the list.

If all Product Groups are removed, a confirmation message appears.

Click **Yes** to confirm removal of the entire Product Line and its groups.

Once confirmed the Product Line can only be restored by contacting the GCC.

Execution Firm	Trader ID	SenderCompID	Asset Class	Product Line	Product Group	Fill	Execution	Quantity	Delta	BuySell
▦▦	▦▦	▦▦▦	PHQUAD	PH1 – No Product Line Protection ☐	✎					
					OG – Gold Options (GC) ☒	1	2			
					OT – Brent Look-Alike Outright Options (BZ) ☒		55	22		12 ✓ ✗

Download MQP Configurations

Use the MQP download feature to save search results as a MS Excel file. View the MQP configuration to evaluate mass quote protection limits assigned to Firms.

▷ **To download MQP configurations:**

1. Conduct a MQP search.

2. From the Search Results page, click the download (▧) button.

The displayed search results appear in a MS Excel file.

Downloaded MQP File

The file represents the downloadable MQPs for the example *Firm 111*. Available data, for a *market participant* or *product line / group*, is based on the entered search criteria shown in this list and may not be inclusive of all MQP settings for the selected participant/product.

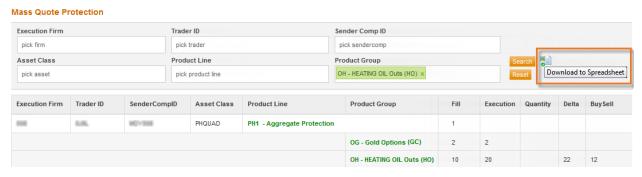| Firm ID	Trader ID	SenderComp	Asset Class	Product Line	Product Group	Product Group Description	Mass Quote Enabled	Fill	Execution	Quantity	Delta	Buy/Sell	
111	**11170**	**ABC111**	**EQUITIES QUADRANT**	PL EQ DOW			false						A
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	01	$10 DOW Strats (ZD)	true	15	20	12			
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	C9	$5 MINI DOW Outs (YM)	true	5	10				
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	M5	$5 MINI DOW Strats (YM)	true	5	9	2			
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	O$	$10 DOW Outs (ZD)	true	3	5	15			
111	**11170**	**ABC111**	**EQUITIES QUADRANT**	PL EQ DOW			true						B
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	01	$10 DOW Strats (ZD)	true	15	20	12			
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	C9	$5 MINI DOW Outs (YM)	true	5	10				
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	M5	$5 MINI DOW Strats (YM)	true	5	9	2			
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	O$	$10 DOW Outs (ZD)	true	3	5	15			
111	**11170**	**ABC111**	**EQUITIES QUADRANT**	PL EQ DOW			true	5	5	5			C
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	01	$10 DOW Strats (ZD)	true	15	20	12			
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	C9	$5 MINI DOW Outs (YM)	true	5	10				
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	M5	$5 MINI DOW Strats (YM)	true	5	9	2			
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	O$	$10 DOW Outs (ZD)	true	3	5	15			
111	**11170**	**ABC111**	**EQUITIES QUADRANT**	PL EQ DOW			true	5	5	5			
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	01	$10 DOW Strats (ZD)	true	15	20	12			
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	C9	$5 MINI DOW Outs (YM)	true	5	10				
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	M5	$5 MINI DOW Strats (YM)	true	5	9	2			
111	11170	ABC111	EQUITIES QUADRANT	PL EQ DOW	O$	$10 DOW Outs (ZD)	false						D

For the specified Firm, Trader ID, Sender Comp ID and Asset Class the following MQP configurations are illustrated.

A. **Product Line** **Protection** is **Not Enabled**

> In this example: MQP is enabled for individual Product Groups. Mass quotes greater than or equal to the specified Product Group values will be rejected. Remaining quotes for the other Product Groups are still active.

B. Product Line MQP is **Enabled**: Using the values specified at the Product Group level. Product Line values are not entered.

> In this example: Mass quotes (fill, execution, quantity) greater than or equal to the threshold will be rejected and resting quotes, for other product groups, are canceled. To enable mass quotes, within the exchange time internal, a reset message must be sent.

C. **Product Line Aggregate Protection**: For the Product Line and its Product Groups, MQP is **Enabled** and thresholds are specified at the product line and group level.

> In this example: A mass quote (fill, execution, quantity) in excess of 5 will be rejected for the specified Product Group and other Product Group within the Product Line. To enable mass quotes, withing the exchange time interval, a reset message must be sent.

D. **Product Group** **Protection** - For the selected Product Group, MQP is **Not Enabled**. Other Product Groups are enabled for the specified quantities. Mass quotes for this product is specified in the message Tag 55-Symbol.

> In this example: All Product Groups, except ZD, are enabled for MQPs at the specified quantity.

Note: For additional questions or issues contact the CME Group Global Command Center.

Reports

Account Manager provides Clearing Members with the ability to generate the reports of system and account activity:

- Trade Summary by Account
- Trade Summary by Account and Product
- Volume Reports

▷ **To access reports:**

1. From the navigation menu, Click **Reporting** then select **ClearPort Reporting**.

2. Select the application and roles and Click **Get Reports**.

3. From the page that appears, select the desired report from the list.

4. Set the parameter values.

   RAV Summary by Account

Parameter	Description
Clearing Member	Automatically populated based on the user. Additional clearing members can be selected from the pull-down menu.
Status	Select **Active**, **Inactive**, or **All**.
Venue	Select **ClearPort** or **Globex**.

   RAV Summary by Account and Product

Parameter	Description
Clearing Member	Automatically populated based on user login. If others options are available, select one from the pull-down menu.
Status	Select **Active**, **Inactive**, or **All**.
Exchange	Select the desired exchange from the pull-down menu (only available for the Account and Product report)
Venue	Select **ClearPort** or **Globex**.
Product	Select the desired product from the drop-down menu (only available for the Account and Product report)

5. Click **View**. The report displays data that matches specified search criteria.

This example illustrates a trade summary report, which displays non-CDS trades for the specified clearing dates.

The following report toolbar options are available:

Field	Description
	Opens the print dialog.
	Opens the Export dialog, with options to export and save the file as a spreadsheet.
	Indicates the current page and options to navigate to other pages.
	Modify the zoom / magnification of the report.
	Return to the previous report function.